

CD01-OWI-003

REVISION C

EFFECTIVE DATE: 9/18/02

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# ORGANIZATIONAL ISSUANCE

CD01

## Customer and Employee Relations Directorate Records Management Plan

Approving  
Authority

<u>NAME</u>	<u>TITLE</u>	<u>ORG</u>	<u>DATE</u>
Susan Cloud	Deputy Director	CD01	09/18/02

CHECK THE MASTER LIST-  
VERIFY THAT THIS IS THE CORRECT VERSION BEFORE USE

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### DOCUMENT HISTORY LOG

Status (Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		6/27/00	
Revision	A	08/15/2001	deleted reference to NHB 1442.1 NASA Uniform Files Index
			5.1.Add - they shall include any applicable controls for collecting, indexing, assessing, filing, and storing (including contractor records) and for controlling damage, deterioration and loss of records.
			5.1.5 Add - Identify in MSFC Marshall Management Directives and OI's the applicable records, retention schedules, disposition, and the organization (s) of record custodian(s) or a link (identification) to where this information is available. Appendix D is a minimum list of the types of quality records which must be identified to maintain ISO registration.
Revision	B	5/22/02	Add Appendix D General Revisions
Revision	C	9/18/02	7. Safety Precautions and Warnings change to none 8. Appendices, Data, reports change to none 10 Personnel Training and Certification change to none

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## 1. PURPOSE

This Organizational Work Instruction (OWI) provides the procedures for Customer and Employee Relations (CaER) Records Management Control Process.

## 2. APPLICABILITY

This work instruction applies to all CaER Directorate Organizational Work Instructions under ISO9000.

## 3. APPLICABLE DOCUMENTS

MPD 1280.1	Marshall Management Manual
MPG 1410.2	Marshall Management Directives System
MPG 1440.2	MSFC Records Management Program
NPG 1441.1	NASA Records Retention Schedule
MPG 7120.3	Data Management, Programs/Projects
NPD 1440.6	NASA Records Management

## 4. DEFINITIONS

4.1.1 Current files area. The office space where records are created or space is utilized by a central files unit which maintains records for an individual, office, or group of offices.

4.1.2 Data Manager. The person appointed, as defined in MPG 7120.3, to support a Program/Project Manager in the development and implementation of a specific program/project's data.

4.1.3 Electronic Record. Records that are stored in a form that only a computer can process (also called machine-readable).

4.1.4 Federal Records Center (FRC). A record storage facility operated by the National Archives and Records Administration (NARA) for housing and servicing noncurrent records of the Federal Government.

4.1.5 Files Equipment. File cabinets, open-shelf filing equipment card-file equipment, map and plan file equipment, and bookcase sections used for maintaining and servicing files.

4.1.6 Files Supplies. Folders, guides, fasteners, labels, forms and other related supplies used for maintaining and servicing files.

4.1.7 Historical Records. Records retained onsite beyond their required retention period and so identified. The ultimate

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disposition of historical records is at the discretion of the holding organization.

4.1.8 MSFC Records Manager (MRM). The individual designated by the MSFC Director, as required by NPD 1440.6, who is responsible for overall administration of the MSFC records management program.

4.1.9 Non-record Materials. Materials such as library and museum material made or acquired and preserved solely for reference or exhibition purposes; extra copies of documents preserved only for convenience of reference, such as reading and suspense copies; materials of short-term value such as drafts, working papers, and routing and transmittal sheets on which no documented administrative action has been taken; and stocks of publications and processed documents.

4.1.10 Office of Primary Responsibility (OPR). The organization having the responsibility for the process/procedures for the delivery of the product or services to the customer. The OPR is responsible for identifying which records need to be generated and placed under control.

4.1.11 Official Files. Any collection of NASA records designated as a record-keeping location for transaction of official business.

4.1.12 Quality Records. A term sometimes used for a subset of records to refer to specific documents cited in a procedure or work instruction which are maintained to demonstrate both MSFC conformance to specified requirements and the effective operation of the MSFC system.

4.1.13 Record Copy. Usually the original of a record or the first-generation of the original which is maintained by the OPR in lieu of the original.

4.1.14 Record Custodian. The individual who is responsible for collecting, indexing, accessing, filing, storing, maintaining, and dispositioning a record or collection of records.

4.1.15 Records. All documentary materials, regardless of physical forms or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate

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successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them.

4.1.16 Records Liaison Officer (RLO). An individual designated by the Director/Manager of basic organizations (and, optionally, departments) to assist the director/manager and/or program/project data manager of the organization in identifying, and dispositioning records through records custodians.

4.1.17 Records Plan. An itemized list (or inventory) of all official records maintained by a record custodian at any given organizational level providing a brief description of record content, arrangement, disposition instructions, and disposal authority (MSFC Form 2441). The compilation of all custodians' plans within an organization comprise the organization's Records Plan.

4.1.18 Record Series. A group of records that relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular form, or have some other relationship arising out of their creation, receipt, or use.

4.1.19 Unscheduled Records or Files. Records or files that are not identified in NPG 1441.1, Records Retention Schedule 1 through 10.

4.1.20 Rights and Interest Records. Records essential to the preservation of the legal rights and interests of individuals in cases where MSFC is the statutory office of record, or where NASA records are the indispensable and exclusive source from which individuals may secure or preserve their rights and interests. These records include such groups as personnel retirement records, payroll records, insurance records, valuable research records and ideas, and potentially patentable materials submitted to MSFC by citizens.

## **5. RESPONSIBILITY AND INSTRUCTIONS**

### **5.1 Responsibility**

5.1.1 The Historian, Internal Relations & Communications Department, is responsible for providing guidance on the disposition of unusual accumulations of documentary materials,

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personal files of officials, or specialized collections of NASA or non-NASA records that could be significant to establishing the basis of the history of NASA programs and projects conducted at MSFC.

5.1.2 Manager, Human Resources Department will serve as the Vital Records Manager and is responsible for maintaining and disposing of said records.

5.1.3 Directors/Managers of each MSFC Basic Organization are responsible for implementing the MSFC Records Management Program within their respective organizations and for complying with the provisions of this Directive, to include:

Ensuring that all custodians develop and maintain a current Records Plan. These plans collectively constitute the organizational Records Plan.

Ensuring that all records - administrative or program records - documenting the organization's functions, policies, decisions, and essential transactions are identified (Records Plan), collected, appropriately maintained, and dispositioned in accordance with NASA policies and procedures.

Furnishing the Marshall Records Manager by memorandum or e-mail, as of October 15 each year, the name, job title, and organizational element to which assigned of the appointed RLO for the organization.

Notifying the Marshall Records Manager in writing of changes in RLO appointments as they occur.

Designating qualified personnel as vital records managers who are responsible for identifying and designating vital records within their respective areas of responsibility.

Identifying and submitting listing and location of any organizational vital records to the Marshall Records Manager at least annually on October 15 and as changes occur.

Considering the potential historical significance of records and exercising particular attention to disposition of historical materials when program/project offices are discontinued.

5.1.4 Records Liaison Officers (RLO's) are responsible for:

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Maintaining cognizance of all Record Custodians identified by the organization, including their assigned responsibilities.

Establishing, in coordination with the organization director/manager and/or data manager, a current Records Plan that reflects all records for which the organization is responsible and ensuring that the plan is maintained and revised by each records-keeping office within the organization, geared to its needs, and compatible with this Directive.

Forwarding initial and/or revised Records Plan(s) to the Marshall Records Manager for concurrence.

Consolidating information for feeder reports on records management matters and forwarding the consolidated report to the Marshall Records Manager as required by NASA Headquarters or MSFC management.

Ensuring that organizational records are reviewed and dispositioned as scheduled and that only those records necessary for effective work accomplishment are being retained.

Providing liaison, assistance, and instruction in the records management activities of the organization to Records Custodians and managers as required.

5.1.5 Records Custodians (RC's) are responsible for maintaining and furnishing information from the records assigned to them. Specific responsibilities include:

Keeping current on the records management regulations and procedures and on the functions of record-keeping offices.

Maintaining an up-to-date Records Plan.

Properly identifying, arranging, and disposing of records in accordance with NPG 1441.1, MPG 1440.2, and the Organizational Work Instructions (OWIs). Retire the record to a Federal Records Center when/as required. (Records retired to a Federal Records Center are maintained in accordance with 44 U.S. C. Chapter 21, 36 CFR Chapter 12, and National Archives and Records Administration procedures.)

Reviewing assigned records at least annually to ensure that only necessary records are being retained.

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Coordinating records problems with the Records Liaison Officer or the Marshall Records Manager.

Establishing and maintaining documented procedures/instructions for controlling records (may be included in the applicable procedural document) in conformance with identification of records in the organization's Records Plan. They shall include any applicable controls for collecting, indexing, assessing, filing, and storing (including contractor records), and for controlling damage, deterioration, and loss of records.

Identify in MSFC Marshall Management Directives and OI's the applicable records, retention schedules, disposition, and the organization(s) of record custodian (s) or link (identification) to where this information is available. Appendix D is a minimum list of the types of quality records which must be identified to maintain ISO registration.

5.1.6 Office of Primary Responsibility (OPR) will identify it's OI's the applicable records, retention schedules, disposition, and the organization(s) of records custodian(s) or a link (identification) to where this information is available. The retention schedules will not conflict with NPG 1441.1, "NASA Records Retention Schedules."

5.1.7 The Originator is Responsible for creating the records in accordance with Marshall Management Directives and OWI's. Note: The originator of a record may also be the Record Custodian.

5.1.8 MSFC Records Manager will ensure that records transferred to the MSFC Records Staging Area are dispositioned (retired/destroyed) in accordance with established NASA retention schedules.

## 5.2 Instructions

5.2.1 Each Organizational Work Instruction Office of primary responsibility identifies the quality records which are addressed in the OWIs.

5.2.2 Organizational Manager assigns Records Custodian.

5.2.3 Record Custodian prepares records plan. Sometimes the Record Custodian is the OPR. If the OWI is a consolidated work instruction within the organization, the Record Custodian may be the process owner for that



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particular function.

5.2.4 Record Custodian collects and maintains the quality records.

5.2.5 If the record is current and active, then it should be ready for the customer.

5.2.6 If the records are not current and it is within the record retention schedule for archive, then it should be stored as historical file for archive.

5.2.7 If the records are no longer needed they can destroyed.

## 6 NOTES

All CaER directorates OWI's will be subject to review at least twice a year to ensure processes remains current and relevant. The review will be conducted by a review team appointed by the Department/Office manager, or as deemed appropriate by the Department/Office manager. Minutes of these reviews should be recorded and maintained as QR's (Quality Records) by the DCC.

## 7 SAFETY PRECAUTIONS AND WARNING

None

## 8 APPENDICES, DATA, REPORTS

None

## 9 RECORDS

Quality Records - The quality records pursuant to this OWI are the evidence of those OWI authorization, cancellation, or revision activities (such as evaluation, team meeting minutes, history log), and the document itself. The organizational manager appoints the quality record custodian who is responsible for maintaining the quality records.

Master List (s) - Maintained by the Department/Office Document Control Custodian (DCC) and the electronic copy will be updated by the web custodian. Current OWI's and Canceled OWI's - maintained by the responsible organizational element's DCC.

CaER Record POC List

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MSFC Form 2441  
Records' Implementation Plan

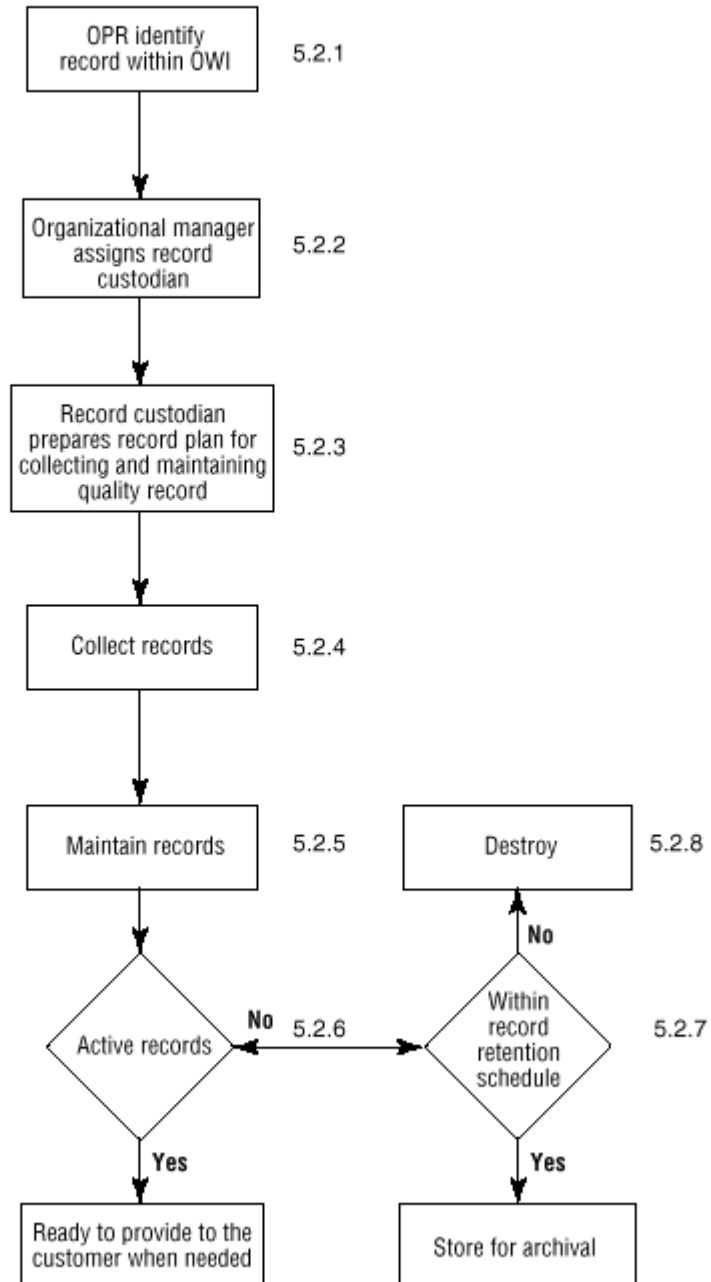
## 10 PERSONNEL TRAINING AND CERTIFICATION

None

## 11 FLOW DIAGRAM

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### Quality Record Process



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**APPEDIX B  
IDENTIFICATION AND LOCATION OF VITAL RECORDS**

Type Records	Organization Responsible for File Source	Present Location of File (Bldg # and Room #)
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**1. General (Administration & Management)**

a. NASA-MSFC Personnel Regulations	CD10	*Building 4200 Room 321
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**2. Personnel**

a. Personnel Manuals and Policies	CD10	*Building 4200 Room 321
b. Personnel Service Records	CD10	*Building 4200 Room 320
c. Employee Insurance	CD10	*Building 4200 Room 324A

**3. Invention Disclosures**

a. Invention Disclosures	CD30	Building 4732 Room 227-12
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APPENDIX C  
MASTER LIST

URL: <http://caer.msfc.nasa.gov/owi1.html>

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## APPENDIX D

### MINIMUM LIST OF TYPES OF RECORDS REQUIRED TO MAINTAIN ISO REGISTRATION

Types of Quality System Records	Reference Procedure
Management Review minutes/records	MPG 1280.1
Records of education, training, skills, and experience	MPG 3410.1
Evidence that the realization processes and resulting product fulfill requirements	MPG 8730.1, MPG 8730.2
Positive recall records	MPG 8730.1
Records of the results of contract review and actions arising from the review	MPG 1050.1, MPG 7100.1, MPG 7120.1
Design inputs	MPG 8060.1, MPG 8060.2, MPG 8823.1
Results of design reviews and any necessary actions	MPG 8060.1, MPG 8060.2, MPG 8823.1
Results of design verification and any necessary actions	MPG 8060.1, MPG 8060.2, MPG 8823.1
Results of design validation and any necessary actions	MPG 8060.1, MPG 8060.2, MPG 8823.1
Results of the review of design changes and any necessary actions	MPG 8060.1, MPG 8060.2, MPG 8823.1
Results of supplier evaluations and any necessary actions	MPG 5000.1
Records of validation of processes for production and service provision	MPG 1280.2, MPG 1280.7
Records of unique identification of product where traceability is a requirement	MPG 8040.2
Reports to customers of customer property which is lost, damaged, or found unsuitable for use	MPG 4000.1
Records of the results of calibrations and verifications	MPG 8730.5
Internal audit records, including an audit schedule, audit results, and follow-up activities	MPG 1280.6
Records of the inspection authority responsible for release of the product	MPG 8730.1, MPG 8730.2
Records of the nature of nonconformities and any subsequent actions taken, including concessions obtained	MPG 8730.3
Results of the investigation of the cause of nonconformities relating to product, process, and the quality system	MPG 1280.4
Records of the results of corrective actions taken	MPG 1280.4
Records of the results of preventive actions taken	MPG 1280.5